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Date of Issue: August 28, 1998
Closing Date: November 16, 1998

**SUBJECT: Request for Application (RFA) for the Farmer-To-Farmer Program in the New Independent States of the former Soviet Union (NIS-FTF)
No. M/OP 98-1828**

BHR/PVC is pleased to announce the Request for Application (RFA) for the Farmer-To-Farmer Program in the New Independent States of the former Soviet Union (NIS-FTF) for fiscal years 1999 to 2002. The NIS-FTF Program envisions sending short-term volunteers to host country agricultural organizations, agribusinesses and farms in all twelve countries in the NIS. The purpose of the program is to share U.S. agricultural expertise, on a people-to-people basis, to improve farm incomes, agribusiness operations and agricultural systems in recipient countries.

Copies may be requested by mail or fax from:

By Mail:

Larry Harms, Program Coordinator
Farmer-To-Farmer Program
USAID/BHR/PVC
Agency for International Development
Washington, D.C. 20523-7600

By Courier/Fed Express

Larry Harms, Program Coordinator
Farmer-To-Farmer Program
USAID/BHR/PVC
Ronald Reagan Building 7.06-095
1300 Pennsylvania Ave., NW
Washington, D.C. 20523-7600

By Fax:

Attn: Larry Harms, Program Coordinator
Farmer-To-Farmer Program
202-216-3039 or 202-216-3041

The purpose of this RFA is to sharpen the focus of the NIS-FTF Program after seven (7) years of operation. BHR/PVC seeks U.S. PVO partners that can 1) develop and implement innovative and cost-effective programs that integrate lessons learned, 2) are results oriented, and 3) effectively partner with other U.S. PVOs in an integrated approach that maximizes the volunteers' assistance.

Several important priorities for this four-year cycle of the NIS-FTF Program include:

- increasing the focus on impact assessment and reporting;
- encouraging the leveraging of FTF resources and developing cost-effective strategies for delivering short-term technical assistance to achieve impact;

- promoting partnerships with other eligible organizations to strengthen the program through new ideas and innovative approaches;
- using FTF volunteer assignments strategically to strengthen the capability of host country organizations;
- improving coordination and linkage to USAID Mission strategies; and,
- emphasizing public outreach.

Program proposals will be due at the address above by close of business, Monday, November 16, 1998. Grants will be awarded by September 30, 1999, subject to the availability of funds. Program operations will begin October 1, 1999.

Any questions concerning the RFA should be referred to Larry W. Harms, (202) 712-5257; Charles Rheingans, (202) 712-5226; or Karen Nelson, (202) 712-1626.

Sincerely yours,

John P. Grant
Director
Office of Private and
Voluntary Cooperation
Bureau for Humanitarian Response

**BUREAU FOR HUMANITARIAN RESPONSE
OFFICE OF PRIVATE AND VOLUNTARY COOPERATION
NIS FARMER-TO-FARMER PROGRAM**

REQUEST FOR APPLICATION

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DEFINITIONS

Host implementation partner - host NGO or institution that collaborates with the U.S. PVO to facilitate program implementation.

Host organization - host-country organization, agribusiness or other entity that receives FTF volunteer assistance.

Leveraged resources - funds and in-kind resources provided by the U.S. PVO and partners in support of the FTF Program.

Linkage to USAID and other USG/donor programs - FTF Program activities that complement and support other private sector agricultural development activities.

Mobilized resources - grants, credit and other resources which FTF host organizations access as a result of volunteer and U.S. PVO assistance.

Subgrant partner - U.S. organization that partners with a U.S. PVO applicant in response to this RFA. This term, as used in the RFA, applies to applicants that partner with other U.S. organizations under a subgrant arrangement.

U.S. PVO partner - U.S. PVO that is the lead applicant in response to this RFA.

ACRONYMS

BHR	Bureau for Humanitarian Response
CDO	Cooperative Development Organization
FTF	Farmer-To-Farmer Program
IR	Intermediate Result
NGO	Non-Governmental Organization
NIS	New Independent States of the former Soviet Union
Oblast	NIS equivalent of a U.S. state
PVC	BHR Office of Private and Voluntary Cooperation
PVO	Private Voluntary Organization
RFA	Request For Applications
SO	Strategic Objective
USAID	U.S. Agency for International Development
USG	U.S. Government

**BUREAU FOR HUMANITARIAN RESPONSE
OFFICE OF PRIVATE AND VOLUNTARY COOPERATION
NIS FARMER-TO-FARMER PROGRAM**

I. OVERVIEW OF THE OFFICE OF PRIVATE AND VOLUNTARY COOPERATION

USAID's Office of Private and Voluntary Cooperation (BHR/PVC) is the focal point for the Agency's partnership with U.S. Private Voluntary Organizations (PVOs) and Cooperative Development Organizations (CDOs). BHR/PVC's competitive grants programs provide direct support to the U.S. PVOs and their local partners to address critical needs in developing countries and emerging democracies. These programs include: Matching Grants, Child Survival Grants, Cooperative Development Grants, the Farmer-To-Farmer Program, the Development Education Program and Ocean Freight Reimbursement. BHR/PVC is responsible for registering U. S. PVOs for the Agency, and is a central contact point in USAID for information on PVO capabilities and programs. The Office is also a key actor in the development of Agency policies and procedures that affect these U.S. organizations.

PVC'S STRATEGIC PLAN

Each USAID operating unit is guided by its own Strategic Plan that in turn contributes to the Agency's sustainable development goals. BHR/PVC's Strategic Plan outlines its program directions and provides a framework for all the grants programs funded and administered by the office. It articulates the specific approaches and performance indicators that will guide the office's work through the year 2002. Given its importance, all prospective applicants are urged to familiarize themselves with PVC's strategic plan prior to preparing their application (It can be accessed through the BHR/PVC Homepage at www.info.usaid.gov/hum_response/pvc/). Highlights are provided below.

PVC's Strategic Objective (SO) is to "increase the capability of PVC's PVO partners to achieve sustainable service delivery." This Strategic Objective builds upon PVC's expertise and historical experience working with U.S. PVOs and CDOs, and reflects its primary mission of strengthening the technical and managerial capacity of these partners to successfully contribute to international development. PVC is uniquely positioned within USAID to build institutional capacity. Over the years, PVC's grants have helped many organizations strengthen their institutional capacities and improve their ability to implement programs that USAID and other donors support.

PVC's Strategic Objective has three distinct elements -- capacity-building, service delivery, and sustainability -- all of which are critical for ensuring the significant impact of the work of PVOs on international development problems. The Strategic Objective reflects PVC's commitment that improvement in capability will result in tangible improvements in services to people in developing countries and that the benefits of PVO programs will be sustained over the long term.

Achievement of PVC's Strategic Objective will lead to its goal of achieving sustainable development in priority sectors in which USAID is focusing its efforts: Economic Growth; Population and Human Health; Environment; Democracy; Basic Education and Training; and Crisis Avoidance, Mitigation and Relief. PVC's Strategic Plan recognizes that the capacity of PVOs to partner effectively with local organizations will achieve another important outcome: NGO and other local partners strengthened. The Office has incorporated this critical, complementary objective in its plan as a Sub-Goal.

To achieve its Strategic Objective, PVC has identified five sub-objectives, or "Intermediate Results", that cut across all of the grants programs supported by the Office. These focus on five areas that are critical to achieving PVC's strategic objective: improving the operational and technical capability of PVOs; strengthening the partnership between USAID and the PVOs; strengthening partnerships between U. S. PVOs and local NGOs; improving the mobilization of resources by PVOs, and raising public awareness about international development. These are discussed below in more detail under the highlights from this year's Results Report.

MEASURING AND REPORTING ON THE RESULTS OF PVC'S GRANTS PROGRAMS

PVC's competitive grants programs are the main mechanism for PVC to implement its strategy, and therefore, it is critical for PVC to be able to demonstrate solid and convincing results from its grant programs. The office judges its success in achieving the objectives of its Strategic Plan by reporting annually on key performance indicators related to its strategic objective and intermediate results. The impact, or results achieved by the PVOs in the various grants programs are consolidated by PVC and reported in an annual Results Report. This information is the foundation for the Office budget request and is incorporated into USAID's annual Results Report to Congress.

This is the second year that the Office has consolidated results from PVC funded grants and reported to the Agency on the impact of the PVO activities it supports. This report includes PVC's performance indicators, future year performance targets and results achieved over the last year. Given its importance, PVC's most recent Results Report can be accessed through the PVC Homepage at www.info.usaid.gov/hum_response/pvc/. A careful review of this report will help applicants to address one of the key questions in this year's RFAs -- how your proposed program will contribute to PVC's strategic objective and intermediate results.

HIGHLIGHTS FROM THIS YEAR'S RESULTS REPORT

At the **Strategic Objective level**, PVC reported the following results in relation to the three key aspects of the Objective:

- **Capacity Building** -- There has been a slow but steady improvement in the organizational capacity of our PVO partners as measured by our capacity assessment index -- the Discussion

Oriented Organizational Self-Assessment (DOSA). There has also been a 21% membership increase in key PVO networks supported by PVC.

- **Service Delivery** -- Both child survival and microenterprise programs have shown impressive strength. Child survival programs had a substantial upward performance trend in maternal immunization and exclusive breastfeeding, a consistent increase in women's knowledge of when to seek antenatal care and in Tetanus Toxoid coverage. There was a 75% increase in loan volume in microenterprise projects.

- **Sustainability** -- 8% of microenterprise programs have achieved full operational sustainability. However, many PVO programs showed an ongoing decline in the level of local financial contributions to their programs.

PVC reported strong performance in relation to its **five key Intermediate Results:**

A. Operational and Technical Capacity of U.S. PVOs Improved

Improving the operational and technical capacity of US PVOs directly affects their ability to achieve sustainable service delivery and to transfer this capacity to local NGOs. Results achieved this year include:

- The quality of PVO program plans increased in most of the quality areas rated. While capacity was very strong in use of state-of-the-art technical approaches, both sustainability planning and use of appropriate performance indicators were identified as areas needing improvement.
- 45% of PVC-funded grants have a systematic approach to monitoring program performance and measuring impact.

B. Strengthened Partnership between USAID and U.S. PVOs

PVC plays a significant role in identifying and addressing issues of importance to the PVO community and strengthening the USAID/PVO partnership, in part through its capacity as Secretariat of the Advisory Committee on Voluntary Foreign Aid (ACVFA). A key result achieved this year was:

- The number of ACVFA recommendations adopted by the Agency increased.

C. Strengthened U.S. PVO and NGO Partnership

This is a key Intermediate Result, which supports PVC's Strategic Objective and contributes directly to the sub-goal of the office, "NGOs and other local partners strengthened." The objective of fostering partnerships between PVOs and NGOs is to

bring the unique strengths, experiences and insights of the two types of organizations together in a synergistic way to increase the impact of development assistance and to build and sustain the capacity of local NGOs to promote effective development at the community level. A strong partnership implies, among other things, a sharing of resources and transparency and clarity on roles and responsibilities. Results achieved this year include:

- 75% of the PVOs had formal partnerships with local organizations as compared to 50% last year.
- An increased percentage of PVOs transferred resources to their local partners, and 61% of these PVOs assisted their NGO partner to leverage resources from external sources.

D. Improved Mobilization of Resources by PVC's PVO Partners

A broad and diversified funding base that avoids over-dependence on any one donor is a critical factor in PVO sustainability. Results achieved this year include:

- The percent of PVOs with a diversified funding based increased.

E. U.S. Public Awareness Raised

Increased understanding and awareness of the benefits of international assistance will lead to increased public support of PVO programs and a more diversified funding base. Public support for PVOs reflects a public-private partnership that is nurtured by informing and educating the public about development needs, programs and the role that PVOs and CDOs play in delivering important development services. A key result achieved this year was:

- 39% of the PVOs are currently measuring change in public awareness of development assistance, as compared to 17% last year.

STRATEGIC PRIORITIES FOR 1999

Given the importance of PVO grants to the achievement of the objectives of PVC's Strategic Plan, all applicants this year are asked to give particular attention to describing how their proposed program will contribute to PVC's strategic objective and five Intermediate Results.

Based on PVC's experience over the last year and the analysis presented in PVC's Results Report, this year's RFA also places particular emphasis on the following priority areas:

- **Capacity building for NGOs and other local organizations:** Strong emphasis is placed on strengthening the capacity of NGOs and other local partners through the grants programs, and on establishing clear capacity building objectives. Applicants to the Matching Grant and Child Survival Program are also asked what skills they need to develop in order to carry out capacity building activities more effectively, and how the proposed program will help them do so. Successful applicants in these two programs are expected to establish a formal MOU with their local partner(s) after the grant is awarded and to develop a plan to measure changes in their partner's organizational capacity.

- **Sustainability:** Strong emphasis is placed on promoting the long term sustainability of program related activities or benefits. PVC encourages all applicants to be as specific as possible in defining their approach to sustainability, in articulating a clear sustainability plan, and in defining how sustainability will be measured. Particular emphasis will be placed this year on financial sustainability, including creative approaches to resource mobilization.

- **Managing for Results and Performance Reporting:** Strong emphasis is placed on well designed programs with a concise, manageable set of objectives that accurately reflect the results and impact that the program seeks to achieve, and a clear set of indicators to measure program performance. All applicants are urged to develop a clear and complete monitoring and evaluation plan for their proposed program. Please make note of the new **Planning Matrix** for several of the grants programs.

In addition to the priorities outlined above, PVC will be looking closely at the proposed costs of the programs in relation to the planned activities to be carried out and projected benefits. Applicants are encouraged to carefully consider innovative ways to achieve cost savings or economies of scale in their programs.

Finally, PVC is encouraging innovative ways to involve new PVOs and to multiply the capacity building effects of its programs. In the Matching Grants and Child Survival Grant Programs, PVC strongly encourages experienced PVOs that have successfully completed at least one grant with PVC to partner with another U.S. PVO with international development experience but no prior grant experience with PVC. The Farmer-to-Farmer program encourages experienced implementors to partner with other eligible organizations with appropriate skills that are interested in developing a volunteer program in international development.

II. PREPARATION AND SUBMISSION OF APPLICATION

All responses to this NIS Farmer-to-Farmer RFA must adhere to the format described in Section IX below. A single-sided original and two (2) bound, double-sided copies of the application (each with a complete set of the required attachments) are to be submitted to BHR/PVC by **5:00 P.M., Monday, November 16, 1998**. To conform with USAID's New Management System (NMS), applicants are also required to submit a copy of the proposal on a 3.5" computer disc

formatted for WordPerfect 5.1/5.2.

Proposals should be submitted to:

By Mail:

Larry Harms, Program Coordinator
Farmer-To-Farmer Program
USAID/BHR/PVC
Agency for International Development
Washington, D.C. 20523-7600

By Courier/Fed Express

Larry Harms, Program Coordinator
Farmer-To-Farmer Program
USAID/BHR/PVC
Ronald Reagan Building 7.06-095
1300 Pennsylvania Avenue, NW
Washington, DC 20523-7600

USAID MISSION SUBMISSION

The NIS-FTF Grant Review Committee will evaluate the eligible applications in consultation with the USAID Missions, USAID Regional Bureaus, and other USAID offices with related interests and expertise. BHR/PVC will distribute copies of each proposal to all reviewers, with the exception of the USAID Missions. ***It is the applicants' responsibility to send copies of its NIS-FTF proposal to USAID Missions in each region/country where activities are proposed.*** The proposals must be received by the Missions no later than **November 20, 1998**. It is highly recommended that proposals be sent by DHL or international express mail to the local address for the USAID Mission. A list of mailing addresses for the USAID Missions is provided in Appendix G. Note that the mailing addresses are subject to change. *You are encouraged to verify receipt of the proposal at the Mission since funding of program activities require Mission concurrence.* Based on the NIS-FTF Grant Review Committee's findings, applicants receiving grants may be required to submit a Detailed Implementation Plan within the first six months of the project.

USAID CONTACT

Any subsequent questions concerning these guidelines or the Farmer-To-Farmer Program in general should be referred to Larry Harms, telephone (202) 712-5257; Charles Rheingans (202) 712-5226; or Karen Nelson (202) 712-1626, or fax (202) 216-3039. Written inquiries may be directed to the above address.

III. BACKGROUND

Since 1985, the Office of Private and Voluntary Cooperation in the Bureau for Humanitarian Response (BHR/PVC) has administered the Farmer-To-Farmer (FTF) Program, which provides short-term technical assistance on a people-to-people basis to host organizations in the agricultural sector worldwide. The FTF Program uses the technical expertise and experience of U.S. farmers, agriculturists, land grant universities, private agribusinesses and non-profit farm organizations to assist host organizations on a voluntary basis.

The FTF Program originated with Section 406 of the Agricultural Trade, Development and Assistance Act of 1954 (Public Law 480) as amended in 1966. PL 89-808 in 1966 introduced the "farmer-to-farmer" terminology. Section 1107 of the Food Security Act of 1985 earmarked a funding level of 0.1% of the PL 480 Program for implementation of the FTF Program. The Agricultural Development and Trade Act of 1990 (Farm Bill) reauthorized the FTF Program, doubled the funding level to 0.2% of the PL 480 Program, and expanded the program to include targeted developing, emerging democracy and middle-income countries. The Federal Agriculture Improvement and Reform Act of 1996 reauthorized the FTF Program and again doubled the funding level to 0.4% of the PL 480 Program.

In 1991, a three-year, \$30 million Special Initiative of the Farmer-To-Farmer (FTF) Program was authorized as one of the first U. S. Government assistance programs for the New Independent States of the former Soviet Union (NIS), and funded from PL 480 Title II resources. The NIS-FTF Special Initiative was started immediately in four countries by funding an amendment to a Worldwide FTF Program grant. After a competitive process in 1992, six organizations were selected to implement the NIS-FTF Program in all 12 NIS countries (See Appendix F). Since 1991, U.S. farmers and agricultural professionals, as FTF volunteers, have completed more than 3,200 FTF assignments to provide assistance to host-country farmers, agribusinesses and agricultural organizations in the 12 NIS countries.

In addition to the overseas impact of the FTF Program, there is significant U.S. domestic impact. FTF volunteers, their families and their communities benefit greatly from the sharing of the volunteer's experiences about life in developing countries and international development work. The involvement of U.S. agricultural organizations in fielding FTF volunteers also assists them in expanding their international outlook and exploring agribusiness opportunities.

In 1996, an Impact Evaluation of the NIS-FTF Program was conducted by an independent team reviewing FTF activities in 7 of the 12 NIS countries. The evaluation team stated:

"The transition to a free market economy in most NIS countries will be a long-term process which must overcome a variety of problems and obstacles. Despite these obstacles, the Farmer-To-Farmer Program is helping to facilitate this process in several ways. Volunteers, through their own experiences in market-oriented agriculture, provide the NIS hosts with credible and experienced models. FTF volunteers and field staff fill a vacuum of needed, practical and useable technical expertise. FTF volunteers are providing training and advice in the various elements of running a business; and they are creating institutions such as farmer associations and other organizations that are beginning to develop the capacity to provide needed technical and business related services to farmers and new entrepreneurs. In these and other ways, FTF is helping to develop indigenous institutional capacity and new market-oriented private entrepreneurs and agribusiness enterprises."

The Evaluation Team stressed the need to "1) strengthen what is, has been and should continue to be an important part of U.S. efforts to assist the NIS make the transition to more open societies and market economies; 2) provide a basis for fine tuning the program to better fit the perceived needs and resource realities of the next 3-5 years; 3) suggest an analytical framework and methodology for not only achieving more program impact but also improving the means by which impact is captured, documented and demonstrated; and 4) bring the FTF Program into closer contact and communication within itself and with other U.S. and donor programs."

The Evaluation Team made a number of specific recommendations, including the following;

- Continue the FTF Program as an important U.S. Program in assisting NIS countries successfully make the crucial transition to more democratic and liberalized economic systems.
- Implement a three-level analysis as the conceptual framework for viewing, achieving, measuring, and evaluating impact.
- Initiate a process aimed at achieving more focus on impact at the point of project selection and in reporting systems.
- Encourage implementors to maximize opportunities to leverage FTF resources.
- Consider implementing a geographic division of labor among implementors.
- Improve coordination and communication between and among implementors and USAID Mission personnel.
- Establish uniform reporting from implementors on the impact of U.S. Public Outreach activities.

Additional background information on the Farmer-To-Farmer Program can be found on the **BHR/PVC Homepage** at [http://www.info.usaid.gov/hum_response/pvc].

IV. FARMER-TO-FARMER PROGRAM GOAL AND OBJECTIVES

As stated in the authorizing legislation, the goal of the FTF Program is "to assist in increasing food production and distribution, and improving the effectiveness of the farming and marketing operations of farmers."

The objective of the FTF Program is to utilize a broad range of U.S. agricultural expertise, on a voluntary basis, to work with farmers, agricultural systems and agribusinesses in eligible countries. The work of volunteers is designed to facilitate the improvement of farm and

agribusiness operations and agricultural systems, including animal care and health, field crop cultivation, fruit and vegetable growing, livestock operations, food processing and packaging, farm credit, marketing, inputs, agricultural extension, and the strengthening of cooperatives and other farmer organizations.

To achieve the objective, BHR/PVC intends to work with a limited set of U.S. PVO partners who are client focussed, innovative, cost conscious and have solid experience in managing for results. In this RFA, BHR/PVC seeks to identify U.S. PVO partners who are capable of fielding highly qualified volunteers to support international agricultural development, with emphasis on improving private agricultural operations primarily with post-harvest activities, such as processing, marketing, credit availability, improved management, and agribusiness development including trade and investment.

The purpose of this RFA is to sharpen the focus of the NIS-FTF Program after seven (7) years of operation. BHR/PVC seeks U.S. PVO partners that can 1) develop and implement innovative and cost-effective programs that integrate lessons learned, 2) are results oriented, and 3) effectively partner with other U.S. PVOs in an integrated approach that maximizes the volunteers' assistance.

In developing proposals, care should be taken to maintain the unique features of the FTF Program. In this regard, the 1996 evaluation made the following comment: "While it can and probably should be more closely aligned with USAID program objectives, there is a limit as to how far that process should be carried without distorting the rather unique character of the Program and its basic reason for being--a people-to-people technical assistance exchange program carried out at the grassroots".

V. ELIGIBILITY CRITERIA

To be eligible for BHR/PVC funding under the Farmer-to-Farmer Program, an applicant must be either a U.S. Private Voluntary Organization (PVO), U.S. nonprofit farm organization, U.S. agricultural cooperative, private U.S. agribusiness, or a land grant college or university.

- Applicants must have within the past five (5) years a minimum of two (2) years' experience in planning, managing, monitoring and reporting on international agricultural development programs.
- Applicants must demonstrate capability (1) to establish a volunteer based program, and (2) to recruit volunteers from among U.S. farmers, agriculturalists, land grant universities, agribusinesses, credit/financial institutions, and nonprofit farm organizations, and/or to establish subgrants or memoranda of understanding with other organizations to assure recruitment of volunteer expertise.
- All U.S. PVO applicants must be registered with USAID.
- For-profit businesses, to receive an award, will be required to waive profits and/or fees.

VI. PROGRAM GUIDELINES

All proposals received by 5:00 P.M., Monday, November 16, 1998, which meet the eligibility requirements in Section V above, will be reviewed for conformity and consistency with the specifications outlined in these guidelines and proposal format. Proposals that do not meet eligibility requirements or that are late or incomplete will not be considered.

A. PROGRAM REQUIREMENTS: All proposed programs must:

1. contribute to the BHR/PVC Strategic Objective and Intermediate Results;
2. provide a linkage to USAID field mission strategies and program objectives;
3. propose a volunteer-based program to support sustainable agricultural development in the proposed regions/countries;
4. be for a period not to exceed four (4) years, October 1, 1999 through September 30, 2003; and
5. be consistent with the governing legislation of the Farmer-To-Farmer Program (see Appendix H).

B. PROGRAM PRIORITIES: Priority will be given to proposals that:

1. have a sharp program focus consistent with the applicant's long-term strategic goals, objectives and areas of expertise in international agricultural development;
2. demonstrate knowledge of proposed regions/countries, show support for concerned USAID Mission and host country development priorities, and demonstrate linkages to USG and other donor programs;
3. have a program focus within selected regions/countries that is coherent, technically sound, feasible, and demonstrates impact on host organizations and beneficiaries;
4. describe a program that is highly innovative and applies past experience and lessons learned;
5. present a program that is cost-efficient and describes actions planned to keep the average cost per volunteer reasonable;
6. demonstrate the ability to build the capacity of host implementation organization(s)/institution(s) to facilitate program implementation, and

strengthen host country agricultural organizations and agribusinesses, and assure their sustainability;

7. will leverage funding and in-kind resources to support program implementation and U.S. training, and assist host organizations to mobilize additional resources to support and expand their activities;

8. provide adequate staff support for efficient headquarters and field operations within an overall budget that maximizes impact of FTF assignments, and provides for a well defined methodology for assessing and reporting impact;

9. include public outreach by the applicant and returning volunteers to inform the U.S. public about USAID, the FTF Program and their development experiences; and

10. include partnering subgrants with other U.S. PVOs to bring increased capacity, new ideas and innovations into FTF Program implementation.

C. REGIONAL FOCUS AND PROGRAM ACTIVITIES

When the NIS-FTF Program started in 1991, the initial program concentrated in four countries; Russia, Ukraine, Kazakhstan and Armenia. In the current NIS-FTF Program, 76 percent of the FTF volunteer assignments are concentrated in three countries, Russia (47%), Ukraine (17%) and Kazakhstan (12%). After the competitive selection in 1992 expanded the program to all 12 NIS countries, all six FTF grantees had programs in Russia and Ukraine. There has been continuing concern, which was also highlighted in the 1996 evaluation, regarding duplication and cost-inefficiencies resulting from all grantees operating in Russia and Ukraine.

In this RFA, BHR/PVC plans to select U.S. PVO partners based on a regional program focus. BHR/PVC envisions one award in each of the following NIS regions: Russia, West NIS, Caucasus and the Central Asian Republics (CAR).

BHR/PVC encourages applicants to pool their efforts through subgrant partnering with other qualified U.S. PVOs to maximize their comparative advantages to meet the needs of the proposed program. The NIS is a vast area comprised of 12 diverse countries in different stages of development with complex agricultural development problems. Collaboration among organizations with volunteer program experience and organizations with specialized expertise will benefit the program through new ideas, innovative approaches, and cost-effective implementation. Ideally, such collaboration might include U.S. PVOs with volunteer program experience, and/or less experienced organizations that bring specific expertise to the program. The term "**subgrant partner**" is used throughout this RFA, and it applies to those applicants that partner with other U.S. organizations under a subgrant arrangement.

Proposals may be submitted for one or more of these NIS regions. However, if programs are proposed in more than one NIS region, the technical sections of the proposal (see IX.C.2, 3 and 6 - Program Foundation, Specific Program Activities and Cost Proposal) **MUST** be prepared separately for each region. In reviewing the proposals, the criteria of Program Foundation (VII.B.), Specific Program Activities (VII.C.), and Cost Proposal (VII.F.) will be scored separately for each NIS region. **Awards will be made separately for each NIS region.**

CONCENTRATION OF FTF PROGRAM ACTIVITIES

The FTF Program implementation experience to date has shown that concentration of FTF volunteer assignments in terms of geographic focus and specific types of technical assistance provides maximum development impact and management efficiency. The current program focus has also shifted from individual volunteer assignments to program impact on host organizations as a result of the volunteer assistance. The need to focus FTF volunteer assignments geographically and provide multiple volunteer assignments to host organizations was also recommended in the 1996 evaluation.

The desired degree of concentration of volunteer assignments is defined generally as a level of effort that: (1) provides sufficient continuity of FTF volunteer assistance to assure sustainable development results and impact with host organizations and proposed country program objectives, and (2) provides field staff support for programming and implementation of volunteer assignments, and subsequent follow-up to determine program impact. Key field staff support could be permanent, in-country staff based in the capital city and/or specific field sites, or regional staff based in the field to provide support to more than one country.

Applicants are encouraged to concentrate at least 80 percent of the proposed FTF volunteer assignments in a limited number of focus oblasts or geographic areas within each country. In selecting focus oblasts/areas, the following factors deemed important for success should be considered: progressive local administration, linkage to USAID Mission and other U.S. Government/donor programs and strategies [<http://www.info.usaid.gov/regions/eni>], previous successful FTF assistance, developing agricultural economy, potential for agribusiness investment, and availability of viable host organizations.

One of the strengths of the FTF Program has been its flexibility to provide volunteer assistance to respond to targets of opportunity, explore potential activities and complement other viable development activities. In order to maintain an FTF Program response capability, proposals may utilize a maximum of 20 percent of the total projected FTF volunteers to meet unanticipated needs and provide flexibility in program implementation within the approved NIS region but outside the focus oblasts/areas.

FOUR (4) NIS REGIONS

RUSSIA: About 30 percent of the proposed program will be directed to Russia (nearly 50% of the volunteer assignments in the current program are in Russia). The proposed FTF program should focus primarily on improving the operations of private farmers, agribusinesses and agricultural systems. The program should be concentrated in a few oblasts to support the strongest agricultural areas, which include those neighboring Moscow, south, southeast and west of Moscow, and western Siberia. Applicants are encouraged to establish field offices outside of Moscow to facilitate program planning, implementation, follow-up and reporting. It is estimated that \$2.0 - \$2.3 million will be available annually for the Russia program. BHR/PVC currently plans to award one (1) grant for Russia, although the possibility of awarding two (2) grants may be considered.

WEST NIS (Ukraine, Moldova, Belarus): About 20 percent of the proposed program will be directed to the three countries in the West NIS region (West NIS received about 21% of the volunteer assignments under the current program). Proposals should include FTF programs in all three countries. The proposed FTF Program should focus primarily on improving the operations of private farmers, agribusinesses and agricultural systems. Focus oblasts/areas should be identified in each country where the FTF Program can complement other U.S. Government and donor programs. If appropriate, applicants are encouraged to establish field offices outside the capital city. It is estimated that \$1.2 - \$1.5 million will be available annually for the West NIS region. BHR/PVC plans to award one (1) grant for the West NIS region.

CAUCASUS (Armenia, Georgia, Azerbaijan): About 15 percent of the proposed program will be directed to the three countries in the Caucasus region (the Caucasus region received about 7% of the volunteer assignments under the current program). Proposals should include FTF activities in all three countries. The proposed FTF Program should focus primarily on improving the operations of private farmers, agribusinesses and agricultural systems. The proposed FTF Program should be concentrated in a few oblasts/areas to complement other USG and donor programs. It is estimated that \$1.0 - \$1.3 million will be available annually for the Caucasus region. BHR/PVC plans to award one (1) grant for the Caucasus region.

CENTRAL ASIAN REPUBLICS (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, Uzbekistan): About 30 percent of the proposed program will be directed to the five countries in the CARs (the CARs received about 24% of the volunteer assignments under the current program). Proposals should include FTF activities in all five countries. FTF activities in Tajikistan may be limited by the security situation. The proposed FTF Program should focus primarily on improving the operations of private farmers, agribusinesses and agricultural systems. The proposed FTF Program should be concentrated in a few oblasts/areas to complement other USG and donor programs. If appropriate, applicants are encouraged to establish field offices outside the capital cities.

It is estimated that \$2.1 - \$2.4 million will be available annually for the CARs. BHR/PVC currently plans to award one (1) grant for the CARs, although the possibility of awarding two (2) grants may be considered.

D. FINANCIAL GUIDELINES

BHR/PVC currently plans to award four (4) grants, one for each of the four (4) NIS regions, in a funding range of approximately \$1,000,000 to \$2,500,000 per year for the four year period.

No minimum match is required, but strong preference will be given to proposals that demonstrate private cash and/or in-kind leveraging of resources of 25 percent or more. The value of volunteers' professional time may be used to satisfy part of the leveraged contribution. The cash or in-kind leveraging of resources may be provided by the applicant, the U.S. PVO partners and/or the host country partners. The value of any in-kind resources must be fully explained in the budget narrative. Funds received by the applicant directly from the U.S. Government or USAID intermediaries are not allowable elements of the leveraged contribution.

USAID may find it necessary to conduct a pre-award audit of fiscal and management systems and/or to determine appropriate indirect cost rate(s).

USAID reserves the right to fund, in whole or in part, any or none of the applications submitted in response to this announcement.

E. RESTRICTIONS

The NIS-FTF Program will not fund proposals which are:

- research or primarily academically oriented;
- non-developmental in nature, such as emergency relief; or
- sectarian or politically partisan.

A complete list of documentation required to be submitted as attachments to the proposal is included in Section IX.C.8.

VII. REVIEW CRITERIA

The proposals will be reviewed and rated against the following six criteria:

A. ORGANIZATIONAL BACKGROUND (10 points)

- Commitment to, and experience in, international agriculture and development of market-oriented agriculture, and relationship of the proposal to the core competencies and

goals of the applicant.

- Previous experience partnering and collaborating with other U.S. organizations. Proposed subgrant partners experience in international agriculture, planned organizational and management linkages to facilitate coordination, and extent to which subgrant partners are integrated in the proposal.
- Past performance in international agriculture and building sustainable host country agricultural organizations and agribusinesses.
- Ability to maintain a roster and recruit highly professional volunteers committed to international volunteer work, and/or to establish agreements with other organizations to assure recruitment and fielding of highly qualified volunteers.
- Plans to inform U.S. public audiences about international development efforts that will be undertaken, and the ability to encourage and assist FTF volunteers to share their experiences with their communities and professional colleagues.

B. PROGRAM FOUNDATION (15 points)

REVIEW AND SCORING FOR THESE 15 POINTS WILL BE CONDUCTED SEPARATELY FOR EACH NIS REGION.

- Responsiveness to the BHR/PVC Strategic Objective and Intermediate Results, USAID Mission development strategies and FTF Program priorities.
- Experience in the proposed countries, local familiarity and organizational contacts in the agricultural sector. Experience and contacts with other donors, local PVOs and NGOs proposed as collaborators on program implementation.
- Subgrant-partners regional and/or country-specific experience, agriculture sector contacts, and complementary program design and implementation expertise.
- Organizations that have an overall approach toward building sustainability.
- Clear criteria for identifying viable, innovative host implementation partners with which to collaborate, and any relevant past developmental experiences with those organizations.
- Program components that clearly meet the objectives set forth in the Farmer-To-Farmer Program legislation. (See Appendix H)

C. SPECIFIC PROGRAM ACTIVITIES (25 points)

REVIEW AND SCORING FOR THESE 25 POINTS WILL BE CONDUCTED SEPARATELY FOR EACH NIS REGION.

- Coherence, feasibility and technical soundness of the proposal, thoroughness of implementation and evaluation plans, and attention to critical issues.
- Program innovations and best practices proposed that apply lessons learned from previous experience.
- Rationale for program concentration, strategic and geographic focus, continuity of volunteer assignments to assure sustainable development, and linkage to USAID country development strategy.
- Clearly stated program objectives and indicators for each country.
- A programming and implementation methodology that clearly provides for a system to identify potential innovative host organizations and volunteer assignments, including assignments that target women as beneficiaries; to develop sound scopes of work; and to identify, select and field highly qualified volunteers, both men and women.
- A sound plan to assist host organizations to improve their management and operational effectiveness; and to assist agribusinesses to strengthen their management and business operations enabling them to seek appropriate credit and financial assistance, including possible contacts with U.S. businesses for potential trade and/or investment. Include a means to measure the effectiveness of the plan. Proposed actions to assist host organizations to mobilize additional resources.
- Clear and substantive role for subgrant partners within an integrated program management and implementation system.

D. MONITORING AND IMPACT ASSESSMENT (10 points)

Assessing program results and impact is being given increased emphasis and weight consistent with the Agency's mandate to manage for results and BHR/PVC's Strategic Plan.

- Demonstrated capacity to develop evaluation plans, identify appropriate indicators, use sound measurement techniques to assess impact, and ability to document impact of development activities.
- An effective monitoring and evaluation system that will aggregate multi-country results

into a coherent, program-wide reporting system to assess program results and the impact of volunteer assistance. Subgrant partners are fully integrated into the evaluation and reporting system.

- An institutionalized program assessment plan that establishes baseline status, sets targets and reports on changes at the host organization and beneficiary levels, and documents long-term sustainability.
- Strategies to incorporate and disseminate lessons learned within the proposed program.

E. PROGRAM MANAGEMENT (20 points)

- Adequacy of headquarters and field staff to backstop and manage the proposed program, including subgrant partners. Qualifications and experience of staff critical to successful implementation of the proposal.
- Adequacy of systems and procedures to ensure effective management and sustainability of the program at the regional and country level.
- Adequacy of systems to identify and recruit high quality volunteers, to effectively carry out FTF assignments to maximize the benefit of the FTF volunteers, and to optimize support for the volunteers.
- Organizational linkages and collaboration proposed for effective program implementation. Clear role for U.S. subgrant partners and host implementation partners to maximize the comparative advantages, coordination, and information sharing among partners.
- Implementation plan for the life of the proposed program which is coherent, feasible and technically sound. The roles and responsibilities of each subgrant partner are clearly defined and integrated. (Applicants receiving grants may also be required to submit a Detailed Implementation Plan within the first six months of the project.)

F. COST PROPOSAL (20 points)

REVIEW AND SCORING FOR THESE 20 POINTS WILL BE CONDUCTED SEPARATELY FOR EACH NIS REGION.

- Demonstrated emphasis on cost-efficiency through a lean, efficient operation to keep the average cost per volunteer at a reasonable level.
- Innovative approaches proposed to keep costs down in order to maximize the number of volunteer assignments.

- Clear description of plans for cost-sharing by host organizations in support of volunteer assignments.
- Clarity and adequacy of program budgeting, accounting and reporting procedures.
- Coherent budget breakdown and clear explanation by line item, including subgrants. Headquarters support costs, field support costs and direct cost of fielding volunteers are clearly presented.
- Plans and estimated amounts for in-kind, cash, local currency or other leveraged resources to support program activities.

VIII. REVIEW PROCEDURES

Eligible proposals will be reviewed and rated by an NIS-FTF Program Grant Review Committee made up of representatives from BHR/PVC, USAID regional bureaus, and other USAID offices with related interests and experience.

BHR/PVC currently plans to award four (4) grants, one in each of the four (4) NIS regions, in a funding range of approximately \$1,000,000 to \$2,500,000 per year for the four (4) year period. Final approval of awards will be made by the Assistant Administrator, Bureau for Humanitarian Response, subject to availability of funds.

BHR/PVC will consult with USAID field missions to assure that proposals are consistent with country strategies and that they have Mission support.

[NOTE: To ensure that your application adequately supports achievement of USAID Mission objectives, applicants are asked to discuss their ideas and planned programs with the USAID Missions in the targeted regions prior to submission of an application. Evidence of this discussion is requested in Section IX.C.2 below.]

IX. PROPOSAL FORMAT

Proposals are requested in the following outline. The body of the proposal should not exceed 25 pages if one region is proposed, and a maximum of 14 additional pages for each region that is added (three sections must be prepared separately for each NIS region; Program Foundation, Specific Program Activities and Cost Proposal). The number of pages for individual sections are suggestions within the overall page limits.

A. APPLICATION FACE SHEET (see Appendix A)

B. EXECUTIVE SUMMARY (3 pages)

Briefly describe the program to be supported, including the objectives, indicators, focus,

and ways in which the program fulfills the statutory objectives in the Farmer-To-Farmer legislation. Describe how it fits into the strategic planning and capabilities of your organization.

Briefly describe how the proposed program supports the BHR/PVC Strategic Objective and the USAID Missions strategy.

Describe how the proposed program builds on lessons learned and previous experience of your organization and subgrant partners. Highlight steps planned to maximize cost efficiency and volunteer impact.

Identify the proposed focus oblasts/geographic areas for concentrated volunteer assignments, the role of proposed U.S. subgrant partner (s), if applicable, and host implementation partnerships, the types of host organizations proposed, specific objectives of the program, the process by which these objectives will be achieved, intended beneficiary groups, and the anticipated impact.

Describe the program management resources proposed, the amount of funding requested from USAID, the estimated amount of funding to be leveraged, the number of volunteers planned, and the proposed length of the program.

C. PROPOSAL

1. Organizational Background (3 pages)

Briefly describe your organization, its objectives, the role and importance of international agricultural development work within the organization, and previous international agriculture experience and staff capabilities which demonstrate your capacity to implement the proposal. Provide a list of references for verification of past performance.

Discuss your existing volunteer database or your ability to establish the roster of volunteer expertise, and your ability to recruit and field highly qualified volunteers for program implementation.

Describe any U.S. subgrant partners proposed, their relationship and management linkages to the applicant, their organizational structure and management system, their previous international agriculture experience, how they complement the applicant, and describe plans to maximize coordination and information sharing among partners.

Discuss plans and ability to inform U.S. public audiences about international development efforts of your proposal and the encouragement and assistance that you can give to returned FTF volunteers to have them share their experiences with

their communities and professional colleagues. [USAID funding cannot be used for public outreach purposes, but your organization may provide for it as part of the cash or in-kind contribution].

2. Program Foundation (4 pages per region)

IF PROPOSAL INCLUDES MORE THAN ONE NIS REGION, PREPARE THIS SECTION SEPARATELY FOR EACH REGION.

Describe how the proposal fits with the BHR/PVC Strategic Plan and Intermediate Results, and the USAID country development strategy. Provide assurances that the proposed program has been discussed with the USAID Mission and provide names of staff contacts.

Briefly discuss the rationale for the program including the criteria for selecting the NIS region for volunteer assignments. Discuss the strengths and any relevant experience of your organization and subgrant partners to work in the chosen countries.

Discuss the agricultural system in the region and the specific problems proposed to be addressed, why short-term volunteer assignments are an effective way of addressing the identified problems, how the proposal meets the objectives of the Farmer-To-Farmer legislation, and how you will judge results.

Discuss lessons learned from participation by your organization and subgrant partners, if applicable, in any Farmer-To-Farmer Program, other international volunteer activities, or other development experience and how the proposal incorporates these lessons. Describe your organization's approach toward building long-term sustainability, and any relevant experience.

3. Specific Program Activities (6 pages per region)

IF PROPOSAL INCLUDES MORE THAN ONE NIS REGION, PREPARE THIS SECTION SEPARATELY FOR EACH REGION.

Concisely state the objectives and results indicators of the proposed program, the rationale for the strategic and geographic focus and plans to identify host implementation partners and their proposed role in program implementation. Provide examples of specific host implementation partners and any relevant developmental experience with these organizations.

Describe the role of any subgrant partners, their participation in preparation of the proposal and how they are integrated in the proposed program. Describe the discrete, innovative agricultural development activities planned for implementation

by the subgrant partners, the focus areas, the estimated number of FTF volunteer assignments, the time-frame, and how they will benefit the program, countries and host organizations.

Discuss plans to identify host organizations which will receive FTF volunteer assistance. If possible, provide examples of specific host organizations. Describe the characteristics of host organizations that are important if FTF volunteer assistance is to be successful. Describe how you propose to build the local capacity of these organizations, and plans to assure long-term sustainability of program achievements.

Describe any planned collaboration with field activities of USAID, other U.S. agencies, U.S. PVOs, Peace Corps or other international organizations. Describe the development activities, and general types and estimated number of FTF volunteer assignments that will lead to achievement of the stated objectives. Describe the desired results and impacts for the activities and the outputs/inputs required. Include as an attachment a completed NIS-FTF Planning Matrix (Appendix B).

For the maximum 20% of volunteer assignments permitted outside the focus oblasts/areas, describe the criteria and process to be used for selecting oblasts/geographic areas, host organizations, types of activities, and how these activities will be supervised and impact assessed.

4. Monitoring and Impact Assessment (2 pages)

Discuss your proposed monitoring and evaluation system to assess program impact, and to aggregate and report results. Describe how the subgrant partners will be integrated into the proposed monitoring, evaluation and reporting system.

Describe your organization's capacity to measure program results, including establishing baseline status, setting targets, developing indicators and reporting results.

The evaluation plan should concentrate on assessing and reporting program impact primarily at the level of the host organization, including increased capacity and benefits to the host, and long-term sustainability of development activities.

5. Program Management (5 pages)

Present an implementation plan for the life of the proposed program. (Applicants receiving grants may also be required to submit a Detailed Implementation Plan within the first six months of the project).

Describe headquarters staff resources and organizational departments, and field support staff resources proposed for program implementation, including subgrant partners. Include in an attachment the resumes of staff critical to program implementation.

Describe the institutional linkages between your organization and any U.S. subgrant partners, host implementation partners and international organizations that will facilitate program implementation, including plans to build local capacity and assure long-term sustainability.

Describe the recruitment network for volunteers that assures recruitment of high quality volunteers, and how you will ensure that a minimum of 15% of your volunteers will be women. Briefly describe the process you will use to field volunteers ensuring that their time is productively utilized, including preparation/briefing, travel, logistics, interpretation, lodging, etc. Explain any volunteer support proposed to be provided by the host organizations. Describe the subgrant partners role in the recruitment and fielding of volunteers.

6. Cost Proposal (4 pages per region)

IF PROPOSAL INCLUDES MORE THAN ONE NIS REGION, PREPARE THIS SECTION SEPARATELY FOR EACH REGION.

Describe innovative steps proposed to maximize cost efficiency based on previous experience in the region.

The financial plan for the proposal is to be submitted as completed USAID Forms 424 and 424A (see Appendix C). The Appendix also provides both general and specific instructions for detailing grant program functions and activities.

Include a budget which corresponds to the object class categories in 424A, section B, and provide in detail the total cost for implementation of the program. A budget narrative should fully explain the basis for each line-item cost.

Include a separate budget for individual U.S. subgrant partners which corresponds to the object class categories in 424A, section B, and provides in detail the total cost for implementation. A budget narrative should fully explain the basis for each line-item cost.

Describe direct costs separately for each NIS region proposed, including headquarters and field support, and the costs of fielding volunteers. In addition, calculate and explain for each NIS region the average cost per volunteer for the life of the project. Estimate cash and in-kind resources, including host organization contributions, or other funds that leverage the dollar funds requested.

Differentiate between the value of the volunteers' time and other types of leveraged resources.

The financial plan must show the non-federal resources for the program.

7. Subgrants (3 pages), if applicable

This section only applies to proposals that include partnering with other U.S. organizations where a subgrant is proposed.

Organizations proposing a subgrant(s) should include an addendum to their application summarizing the following information.

- Subgrant partners' internal organizational structure and management system, together with management linkages to the applicant. Plans to ensure cooperation and information sharing.
- Proposed subgrant partners' role and how they are an integral part of the proposed program, discrete activities planned for the subgrant partners to fund and implement that are either sector-specific or geographic area specific.
- How the proposed subgrant partners will benefit the program, countries and organizations concerned, the focus areas, the time-frame, total cost estimate and amount requested from USAID.
- Subgrant partners' staff and resources planned for implementing the program activities proposed.
- Subgrant partners must include a list of references for verification of past performance.

Proposed subgrant partners will be subject to all eligibility and programmatic requirements of the Farmer-to-Farmer Program. In addition, proposals should include a letter of commitment from each subgrant partner to the objectives and general requirements of the FTF Program, and to demonstrate their commitment to the partnership, their proposed role, and the kind of resources they will provide.

8. Attachments to Proposal

- a. Supplementary financial information to support USAID Forms 424 and 424A.
- b. Letters of commitment from subgrantee(s).

- c. Organizational chart and resumes of key personnel critical to program implementation.
- d. Implementation Plan for the life of the proposed FTF Program.
- e. List of all your USAID-funded projects, grants and contracts, that are ongoing or were completed within the past 3 years.
- f. List all your non-USAID-funded projects, grants and contracts that involve agriculture related activities.
- g. Other attachments (not to exceed 10 pages) you judge to be supportive of your proposal.

X. APPENDICES

- Appendix A: Application Face Sheet
- Appendix B: NIS-FTF Planning Matrix
- Appendix C: Financial Overview, Guidelines, and USAID Forms 424 and 424A
- Appendix D: Certifications, Assurances, and Other Statements of Applicant/Grantee
- Appendix E: Certificate of Compliance
- Appendix F: List of Eligible Countries
- Appendix G: USAID Mission Addresses
- Appendix H: Farmer-To-Farmer Program Legislation
Federal Agriculture Improvement and Reform Act of 1996

APPENDIX A

APPLICATION FACE SHEET

Name/Address of Organization

Contact

Name _____

Title _____

Phone _____

Fax _____

PROJECT OBJECTIVE:

PROPOSED NUMBER OF VOLUNTEERS:

PROPOSED USAID FUNDING:

PROPOSED IN-KIND/CASH CONTRIBUTION:

PROPOSED NIS REGION:

NIS Region	Countries	Estimated No. of FTF Volunteers	USAID/BHR/PVC Est. Funding
Russia	_____	_____	_____
West NIS	_____	_____	_____
Caucasus	_____	_____	_____
Central Asian Republics	_____	_____	_____

PROPOSED OPERATING YEAR BUDGET:

Year	USAID Request	Private	Total (per year)
10/99-9/00	_____	_____	_____
10/00-9/01	_____	_____	_____
10/01-9/02	_____	_____	_____
10/02-9/03	_____	_____	_____
Total LOP	_____	_____	_____

APPENDIX B

NIS-FTF PLANNING MATRIX

The Planning Matrix establishes the general program goal, objectives, indicators, means of measurement and inputs that will contribute to attainment of the program objectives. The Planning Matrix identifies a) a set of planned objectives that the program expects to accomplish; b) specific indicators that match each planned objective and define what will be measured to determine whether the desired impact has been achieved; c) how the indicators will be measured, and d) the inputs and activities needed to achieve the objective. The Planning Matrix should be viewed as an aggregate portrayal of the program, i.e. the matrix should serve as the summary of all inputs, outputs and critical indicators combined.

(For assistance with performance indicators, refer to the USAID publication "Selecting Performance Indicators" which can be found on the USAID Website under USAID Evaluation Publications, Performance Monitoring and Evaluation Tips). [www.info.usaid.gov/pubs/usaid_eval/ascii/pnaby214.txt].

GOAL:			
NARRATIVE SUMMARY	INDICATOR	MEANS OF VERIFICATION	INPUTS/ACTIVITIES
<p><u>OBJECTIVES</u></p> <p>What are the major objectives that are to be achieved from effective management of the program inputs? The objectives should:</p> <ul style="list-style-type: none"> • be specific; • clearly state the type of impact expected; and • be clear about who or what is changing (individual, groups, organizations) <p>(Specify Target Groups)</p>	<p>What are the specific indicators proposed for each of the planned objectives. (Indicators will be finalized in the Detailed Implementation Plan).</p> <p>Indicators should be:</p> <ul style="list-style-type: none"> • direct, objective and precise; • quantitative, where possible; • practical; and • sufficiently reliable for confident decision-making. 	<p>What are the specific sources of data for each of the indicators, and how are the data going to be obtained? If it doesn't already exist, what provisions will be made to obtain it?</p> <p>What method will be used to obtain data?</p>	<p>For each major objective, identify the inputs and major activities needed for success.</p> <p>For each category of inputs, identify the quantity and/or \$ value by year.</p>

APPENDIX C

FINANCIAL GUIDELINES

Completion of Standard Form 424, Application for Federal Assistance

Completion of Standard Form 424, Budget Information

General: Following are general instructions for completing SF 424A, Budget Information. This is a standard form for U.S. Government assistance and not all information will apply to the BHR/PVC Worldwide Farmer-to-Farmer Program. Enter "N/A" ("not applicable") as appropriate (i.e., references to State and local funding, construction projects, catalog of Federal domestic assistance number, Congressional districts). These instructions are suggestions. You may alter the fields if others more suited to your accounting systems as long as the financial information is clear.

Page 1: Provide requested information as applicable.

Section A, Budget Summary

Lines 1-4 (or more as needed):

Column (a), Grant Program Function or Activity: A suggested set of function categories are: (1) U.S. Headquarters support costs; (2) field support costs; 3-4 volunteer costs by USAID geographic region and core countries, example, (3) AFR/Zambia & Malawi regional, (4) ANE/Jordan, etc.; (5) non-core countries (reserved volunteer assignments - see IV.D.Program Flexibility).

Column (b): N/A

Columns (c) and (d): N/A

Columns (e), Estimated Unobligated Funds, Federal: Enter the USAID portion of your proposed budget.

Column (f), Estimated Unobligated Funds, Non-Federal: Enter the non-U.S Government resources of your proposal. Strong preference will be given to proposals that show a minimum

25% cash or in-kind cost sharing requirement for the FTF Program.

Column (g), Total and line 5, Totals: Total as requested.

Section B: Budget Categories

Line 6, columns 1-4 (or more as needed):

Re-enter function categories from Budget Summary above.

Rows 6/a-k: Break down the estimated federal cost for each function category.

a. Personnel: Calculations should include the salary for all positions for the total estimated life-of-project effort as well as future cost-of-living or bonus/merit increases for the life of the project for each function category as appropriate. Include all personnel except consultants.

For Headquarters staff, include all paid headquarters backstopping personnel.

Field personnel includes all paid technical and non-technical staff. Field technical positions include, for example, country representatives and technical coordinators. Field non-technical personnel includes all paid non-technical staff such as clerical, administrative, temporary, or other staff (e.g., drivers, guards, caretakers).

b. Fringe benefits: Includes fringe benefits for personnel by function category where appropriate.

c. Travel: Include all travel, per diem and other related costs for all personnel by function category where appropriate.

For Headquarters travel: Include both domestic (U.S.) and international travel. The budget for domestic travel should include all allowable travel and per diem costs (including transportation and lodging) by headquarters personnel that occurs entirely within the United States and is not directly related to an overseas trip. The budget for international travel should include international travel (between the United States and another country), per diem, and other applicable costs incurred in the country visited. The international travel budget also should include any

costs for the U.S. leg(s) of international trips.

For field travel: Include both in-country and international travel. In-country travel includes all allowable in-country transport, per diem, and other applicable costs (e.g., living, housing, education, relocation costs) for field staff. International travel includes all allowable transportation and per diem costs of field staff to be incurred in travel outside of project site country. The international travel budget also should include any costs for the U.S. leg(s) of international trips.

Volunteers' travel: Include both in-country and international travel, including the domestic leg(s) of internationals travel.

d. Equipment: In accordance with 22 CFR 226, "equipment" means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

Headquarters equipment refers to equipment purchased under this award that will be for the use of headquarters personnel.

Field equipment refers to equipment purchased under this award that will be for the use of field personnel.

e. Supplies: In accordance with 22 CFR 226, "supplies" means all personal property excluding equipment, intangible property, debt instruments and inventions.

Headquarters supplies refers to supplies consumed at the headquarters level during the life of the project.

Field supplies refers to supplies consumed at the field level during the life of the project.

f. Contractual: This line item pertains to subcontracts or subgrants and, in addition, fees, travel and per diem costs of consultants and other contractors. This includes costs for any external evaluation consultants. This budget line also includes fees for consultants and any subcontractors other than for evaluation. Examples may include interpreters, outside printing, or other outside work.

g. Construction: N/A - This grant program will not pay for construction, either permanent or temporary.

h. Other: This category includes budget items not specified above, e.g., communications, facilities.

Communications costs may include printing/reproduction, postage/delivery, and telephone/telex/facsimile costs, incurred at the headquarters level and/or at the field level.

Facilities costs refers to costs associated with the rental of operational facilities at the headquarters level and/or the field level.

Other headquarters costs may include other miscellaneous costs not already listed.

Other field costs include subcontracts with other organizations at the field level. This line also includes vehicles; fuel, repairs and spare parts associated with vehicle maintenance; and vehicle insurance.

j. Indirect Charges: Include a copy of your most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general and administrative rate. This should be shown separately for the headquarters and the field.

Section C: Non-Federal Resources: Complete information concerning the leveraging of non-federal resources. The FTF Program leverages in-kind resources, and strong preference will be given to proposals that show a minimum 25% private in-kind or cash matching contribution. The legislation, in addition, encourages potential use of PL 480 local currency to leverage the dollar funds. The cost proposal should show all known cost-sharing contributions.

- a. Column A Grant Program: Enter the function categories from Section A, Summary.
- b. Column B, Applicant: List any cost-sharing contributions provided directly by the proposing organization, either cash or in-kind.
- c. Column C, State: N/A if appropriate.

- d. Column D, Other sources: List here other non-Federal sources of cash or in-kind contributions including the estimated value of the professional time of volunteers, in-kind value of lodging, in-kind contributions by returning volunteers and their communities, local currency contributions by the USAID Mission, funding support from other donors/ organizations or other cash and in-kind contributions, etc.

Section D, Forecasted Cash Needs: Complete first year estimates of federal and non-federal resources by quarter.

Section E, Estimates of Federal Funds Needed for Balance of Project: Complete funding estimates by year as requested.

Section F, Other Budget Information: Complete as requested.

PLEASE NOTE: FORMS CAN BE DOWNLOADED FROM USAID'S HOME PAGE AS FOLLOWS:

http://www.info.usaid.gov/procurement_bus_opp/procurement/forms

USAID Form 424

OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> Application ____ Construction X Non-Construction </div> <div style="width: 48%;"> Preapplication ____ Construction ____ Non-Construction </div> </div>		2. DATE SUBMITTED Applicant Identifier N/A
3. DATE RECEIVED BY STATE N/A		State Application Identifier N/A
4. DATE REC'D BY FEDERAL AGENCY		Federal Identifier N/A

5. APPLICATION INFORMATION

Legal Name: Address (give only county, state, and zip code):	Organizational Unit Name and telephone number of person to be contacted on matters involving this application (give area code)
--	--

6. EMPLOYER IDENTIFICATION NUMBER (EIN): 	7. TYPE OF APPLICATION: (enter appropriate letter in box) M
---	---

8. TYPE OF APPLICATION X New ____ Continuation ____ Revision If Revision, enter appropriate letter(s) in box(es) <div style="display: flex; justify-content: space-between; font-size: small;"> <div style="width: 48%;"> A. Increase Award B. Decrease Award C. Increase Duration </div> <div style="width: 48%;"> D. Decrease Duration E. Other (specify): _____ </div> </div>	<div style="display: flex; justify-content: space-between; font-size: small;"> <div style="width: 48%;"> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special Dist. </div> <div style="width: 48%;"> H. Independent School Dist I. State Controlled Institution of Higher Learning J. Indian Tribe K. Individual L. Profit Organization M. Other (specify): PVO </div> </div>
---	--

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE: N/A	9. NAME OF FEDERAL AGENCY
12. AREAS AFFECTED (Cities, Counties, States, etc.):	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

13. PROPOSED PROJECT	14. CONGRESSIONAL DISTRICTS OF:	
START DATE END DATE	a. Applicant N/A	b. Project N/A

15. ESTIMATED FUNDING:	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?														
<table style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 40%; border-bottom: 1px solid black;">a. Federal</td><td style="border-bottom: 1px solid black;">\$</td></tr> <tr><td style="border-bottom: 1px solid black;">b. Applicant</td><td style="border-bottom: 1px solid black;">\$</td></tr> <tr><td style="border-bottom: 1px solid black;">c. State</td><td style="border-bottom: 1px solid black;">N/A</td></tr> <tr><td style="border-bottom: 1px solid black;">d. Local</td><td style="border-bottom: 1px solid black;">N/A</td></tr> <tr><td style="border-bottom: 1px solid black;">e. Other</td><td style="border-bottom: 1px solid black;">\$</td></tr> <tr><td style="border-bottom: 1px solid black;">f. Program Income</td><td style="border-bottom: 1px solid black;">\$</td></tr> <tr><td style="border-bottom: 1px solid black;">g. TOTAL</td><td style="border-bottom: 1px solid black;">\$</td></tr> </table>	a. Federal	\$	b. Applicant	\$	c. State	N/A	d. Local	N/A	e. Other	\$	f. Program Income	\$	g. TOTAL	\$	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON: DATE _____ B. NO. <u> X </u> PROGRAM IS NOT COVERED BY E.O. 12372 <u> X </u> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$														
b. Applicant	\$														
c. State	N/A														
d. Local	N/A														
e. Other	\$														
f. Program Income	\$														
g. TOTAL	\$														

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? Yes If "Yes", attach an explanation No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Type Name of Authorized Representative	b. Title	c. Telephone Number
d. Signature of Authorized Representative	e. Date Signed	

Previous Edition usable
Authorized for Local Representative

Standard Form 424 (REV 4-92)
Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: | |
|---|--------|---|
| 1. Self-explanatory. | | 13. Self-explanatory. |
| 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | | 14. List the applicant's Congressional District and any District(s) affected by the program or project. |
| 3. State use only (if applicable). | | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | | |
| 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application. | | |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | | |
| 7. Enter the appropriate letter in the space provided. | | |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided: | | |
| - "New" means a new assistance award. | | |
| - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. | | |
| - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |

SF 424 Back (Rev. 4-92)

- | Item: | Entry: |
|---|--------|
| 9. Name of Federal agency from which assistance is being requested with this application. | |
| 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | |
| 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | |
| 12. List only the largest political entities affected (e.g., State, counties, cities). | |

INSTRUCTIONS FOR THE SF 424 (continued)

16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernment review process.
17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.
18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

SF 424 Back (Rev. 4-92)

USAID Form 424A
Budget Information - Non-Construction Programs

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity {a}	Catalog of Fderal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Revised Budget		
		Federal {c}	Non-Federal {d}	Federal {e}	Non-Federal {f}	Total {g}
1.				\$	\$	\$
2.						
3.						
4.						
5.TOTALS				\$	\$	\$
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity				Total {5}	
	Headquarters {1}	Field {2}	{3}	{4}		
a. Personnel (1)	\$	\$			\$	
b. Fringe Benefits (1)						
c. Travel (1)						
d. Equipment (3)						
e. Supplies (3)						
f. Contractual (3)						
g. Construction N/A						
h. Other (1), (2) (see notes)						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges (4)						
k. TOTALS (sum of 6i and 6j)	\$	\$			\$	
7. Program Income		\$	\$	\$	\$	\$

USAID FORM 424A (cont'd)

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. Headquarters	\$		\$	\$
9. Field				
10. NA				
11. NA				
12. TOTAL (sum of lines 8-11)	\$		\$	\$

SECTION D - FORECASTED CASH NEEDS

13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)					

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	Future Funding Periods			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

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Standard Form 424 A (Rev. 4-92) Page 2

Standard Form 424A (cont'd.)

INSTRUCTIONS FOR THE SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column (a)* and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For *new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter

in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

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Standard Form 424A (cont'd.)

INSTRUCTIONS FOR THE SF 424A (continued)

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal

funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

SF 424A (Rev. 4-92) Page 4

U.S. Agency for International Development

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE^{1 2}

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The applicant/grantee hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the applicant/grantee is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the applicant/grantee establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the applicant/grantee by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The applicant/grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall

1. FORMATS\GRNTCERT: Rev. 04/04/95 (TM 13:63/TM 1B:90/CIB95-11)

2. When these Certifications, Assurances, and Other Statements of Applicant/Grantee are used for cooperative agreements, the following terms apply: "Grantee" means "Recipient," "Grant" means "Cooperative Agreement," and "Grant Officer" means "Agreement Officer."

have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the applicant/grantee, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the applicant/grantee.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the applicant/grantee is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the applicant/grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For applicants/grantees other than individuals, Alternate I applies.

(4) For applicants/grantees who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The applicant/grantee certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The applicant's/grantee's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The applicant/grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The applicant/grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS¹

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.² You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

1. The applicant/grantee must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The applicant/grantee should reproduce additional copies as necessary.

2. See Chapter 3 of USAID Handbook 13, 22 CFR 208.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction,"³ provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

3. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the applicant/grantee is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the applicant/grantee is a non-U.S. nongovernmental organization.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. AGREEMENT ON GRANT TERMS AND CONDITIONS

The applicant/grantee certifies that it has reviewed and is familiar with the proposed grant format and the standard provisions applicable thereto, and that it agrees to comply with all such terms and conditions, except as noted below (use a continuation page as necessary):

Solicitation No. _____
Application/Proposal No. _____
Date of Application/Proposal _____
Name of Applicant/Grantee _____
Typed Name and Title _____
Signature _____ Date _____

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
Lower Tier Covered Transactions

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. ^{1/} You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," ^{2/} without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

^{1/} See Chapter 3 of USAID Handbook 13, 22 CFR 208.

^{2/} For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see Appendix 4C of USAID Handbook 13), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see Appendix 4D of USAID Handbook 13).

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____
Application/Proposal No. _____
Date of Application/Proposal _____
Name of Applicant/Subgrantee _____
Typed Name and Title _____

Signature _____ Date _____

APPENDIX E

Certificate of Compliance

I, (NAME) , (TITLE) , as a legally-authorized representative of (NAME OF ORGANIZATION) , do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel and procurement under this agreement and I further certify that the organization is in compliance with those requirements.

I, we, understand that a false, or intentionally misleading, certification could be the cause for possible actions ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I, we, Further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by OMB circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies, to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-0133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

Signature

Printed Name

Position Title

Date

Appendix F

NIS FARMER-TO-FARMER PROGRAM

ELIGIBLE COUNTRY LIST

AND COMPLETED VOLUNTEER ASSIGNMENTS

From 1991 through June 30, 1998

REGION	COUNTRIES	NO. OF VOLUNTEERS
RUSSIA	Russia	1,525
WEST NIS	Belarus	113
	Moldova	142
	Ukraine	455
CAUCUSUS	Armenia	166
	Azerbaijan	40
	Georgia	53
CENTRAL ASIAN REPUBLICS	Kazakhstan	379
	Kyrgyzstan	172
	Tajikistan	50
	Turkmenistan	87
	Uzbekistan	91
TOTAL		3,273

USAID MISSION ADDRESSES -- APPENDIX G
(LISTED ALPHABETICALLY BY COUNTRY)

ARMENIA

USAID/Caucasus
#10 Aigedzor
Yerevan, 375919, Armenia
Tel: 7-3742-151-955
or 22-48-76

MOLDOVA

USAID/Moldova
American Embassy
103 Mateevici St.
Chisinau, MD 2009
Moldova

AZERBAIJAN

USAID c/o US Embassy
83 Azadli
Prospekti 83
Baku, Azerbaijan

RUSSIA

American Embassy, Moscow
USAID/Moscow
Novinskiy Bulvar, 19/23
121099 Moscow, Russia
Tel: 956-4281

BELARUS

USAID/Belarus
c/o American Embassy
46 Starovilenskaya St.
Minsk, 220002, Belarus

TAJIKISTAN

USAID/Dushanbe
c/o American Embassy
105 Rudaki St. Apts 2,3
734001 Dushanbe, Tajikistan

GEORGIA

USAID/Caucasus
4/6 Orbeliani St.
Tbilisi 380026 Georgia

TURKMENISTAN

USAID/Ashgabat
c/o American Embassy
6 Pushkin St.
74400 Ashgabat, Turkmenistan

KAZAKHSTAN

USAID/Almaty
c/o American Embassy
97A Furmanov Street
480091 Almaty, Kazakhstan
Tel: 7-3272-50 76 17

UKRAINE

USAID/Kiev
19 Nizhnyi Val sr.
Kiev
254071
Ukraine
Tel: 380-44-462-5678

KYRGYZSTAN

USAID/Bishkek
c/o American Embassy
497 Frunze St. Apt 11
720040 Bishkek, Kyrgyzstan

UZBEKISTAN

USAID/Tashkent
c/o American Embassy
82 Chilanzarskaya St.
700115 Tashkent, Uzbekistan

APPENDIX H

Farmer-to-Farmer Program Legislation

APPENDIX H

"TITLE V--FARMER-TO-FARMER PROGRAM"

SEC. §41.FARMER-TO-FARMER PROGRAM.

"(a) In General--To further assist developing countries, middle-income countries, and emerging democracies to increase farm production and farmer incomes, the President may, notwithstanding any other provision of law--

"(1) establish and administer a program of farmer-to-farmer assistance between the United States and such countries to assist in increasing food production and distribution and improving the effectiveness of the farming and marketing operations of farmers;

"(2) utilize United States farmers, agriculturalists, land grant universities, private agribusinesses, and nonprofit farm organizations to work in conjunction with farmers and farm organizations in such countries, on a voluntary basis, to facilitate the improvement of farm and agribusiness operations and agricultural systems in such countries, including animal care and health, field crop cultivation, fruit and vegetable growing, livestock operations, food processing and packaging, farm credit, marketing, inputs, agricultural extension, and the strengthening of cooperatives and other farmer groups;

"(3) transfer the knowledge and expertise of United States agricultural producers and businesses, on a people-to-people basis, so such countries while enhancing the democratic process by supporting private and public, agriculturally related organizations that request and support technical assistance activities through cash and in-kind services;

"(4) to the extent practicable, enter into contracts or other cooperative agreements with or make grants to private voluntary organizations, cooperatives, land grant universities, private agribusiness, or nonprofit farm organizations to carry out this section (except that any such contract or other agreement may obligate the United States to make outlays only to the extent that the budget authority for such outlays is available pursuant to subsection (c) or has otherwise been provided in advance in appropriation Acts);

"(5) coordinate programs established under this section with other foreign assistance activities carried out by the United States; and

"(6) to the extent that local currencies can be used to meet the costs of a program established under this section, augment funds of the United States that are available for such program through the use of foreign currencies that accrue from the sale of agricultural commodities under this Act, and local currencies generated from other types of foreign assistance activities, within the country where the program is being conducted.

"(b) DEFINITIONS--The following definitions apply for purposes of this section:

"(1) EMERGING DEMOCRACY.--The term 'emerging democracy' means a country that is taking steps toward--

"(A) political pluralism, based on progress toward free and fair elections and a multiparty political system;

"(B) economic reform, based on progress toward a market oriented economy;

"(C) respect for internationally recognized human rights; and

"(D) a willingness to build a friendly relationship with the United States.

"(2) MIDDLE INCOME COUNTRY.--The term 'middle income country' means a country that has developed economically to the point where it does not receive bilateral development assistance from the United States.

"(c) MINIMUM FUNDING.--Notwithstanding any other provision of law, not less than 0.4 percent of the amounts made available for each of the fiscal years 1996 through

2002 to carry out this Act, in addition to any funds that may be specifically appropriate to carry out this section, shall be used to carry out programs under this section, with not less than 0.2 percent to be used for programs in developing countries.